

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under  
37 CFR 1.53(b))

Attorney Docket No.

HAU237

First Inventor

David T. Bailey

Title

METHODS OF PREPARING  
IMPROVED WATER-SOLUBLE  
EXTRACTS CONTAINING  
ANTIOXIDANTS AND USES  
THEREOF

Express Mail Label No.

EL841974887US

## APPLICATION ELEMENTS

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form  
(submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification [total pages: 43 ]  
(preferred Arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) [total sheets: 10 ]
5. ☒ Oath or Declaration [total sheets: 3 ]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from prior appl. (37 C.F.R. § 1.63(d))
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. (See 37 CFR 1.76)
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (coversheet/document(s))
10. ☐ 37 CFR. 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document
12. ☒ IDS & Form 1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
15. ☐ Certified Copy of Priority Document(s)
16. ☐ Request & Certification under 35 USC 122(b)(2)(B)(i)
17. ☒ Other: Certificate of Mailing by Express Mail; Check in the amount of \$863.00

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:


☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_/\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below

Name	Steven C. Petersen				
	Hogan & Hartson, LLP				
Address	1200 17 <sup>th</sup> Street				
	Suite 1500				
City	Denver	State	CO	ZIP	80202
Country	US	Telephone	(720) 406-5315	Fax	(720) 406-5301
Name (Print/Type)	Sarah O'Rourke			Registration No.	41,226
(Signature)				Date	Dec. 19, 2001

# FEE TRANSMITTAL for FY 2002

## Complete if Known

Application Number	Not Yet Accorded
Filing Date	Not Yet Accorded
First Named Inventor	David T. Bailey
Examiner Name	
Group / Art Unit	
Attorney Docket No.	HAU237

TOTAL AMOUNT OF PAYMENT (\$) (\$863.00)

### METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

50-1123

Deposit  
Account  
Name

Hogan & Hartson L.L.P.

☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	370
320	160	Design filing fee	
490	245	Plant filing fee	
710	355	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) (\$370)

#### 2. EXTRA CLAIM FEES

		Extra Claims		Fee from below		Fee Paid
Total Claims	33	-20**=	13	X	9	= 117
Independent Claims	11	-3**=	8	X	42	= 336
Multiple Dependent						= 0

\*\*or number previously paid, if greater, For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	**Reissue independent claims over original patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$453)

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	40
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination	
900	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$40)

### SUBMITTED BY Complete (if applicable)

Name (Print/Type) Sarah O'Rourke

Registration No. (Attorney/Agent) 41,226

Telephone (720) 406-5385

Signature

*Sarah O'Rourke*

Date

12-19-01

12/19/01  
J1003 U.S. PTO

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PATENT  
EXPRESS MAIL NO. EL841974887US  
Attorney Docket No. HAU237  
Client/Matter No. 81250.0109.000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David Bailey, et al.

Serial No. Not Yet Accorded

Filed: Not Yet Accorded

For: METHODS OF PREPARING IMPROVED  
WATER-SOLUBLE EXTRACTS CONTAINING  
ANTIOXIDANTS AND USES THEREOF

Group Art Unit: Not Yet  
Accorded

Examiner: Not Yet Accorded

JC760 U.S. PTO  
10/025479  
12/19/01

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

- Patent Application (43 pages of Specification and 10 pages of Figures);
- Utility Patent Application Transmittal Form;
- Fee Transmittal Form (in duplicate);
- Signed Declarations of inventors;
- Assignments;
- Recordation cover sheet;
- Information Disclosure Statement;
- Form PTO1449;
- Copies of 11 references;
- Check in the amount of \$863.00; and
- Return postcard

relating to the above application, were deposited as "Express Mail", Mailing Label  
No. EL841974887US, with the United States Postal Service, addressed to Box PATENT  
APPLICATION, The Assistant Commissioner for Patents, Washington, D.C. 20231.

Dec. 19, 2001  
Date

Sarah O'Rourke  
Mailer

Dec. 19, 2001  
Date

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